
GOVERNMENT OF THE DISTRICT OF COLUMBIA

RECORDS RETENTION SCHEDULE

Department of Consumer and Regulatory Affairs



Update: July 1, 2020

GOVERNMENT OF THE DISTRICT OF COLUMBIA

Office of Public Records

REQUEST FOR APPROVAL OF AGENCY RECORDS RETENTION SCHEDULE

1. Agency	Department of Consumer and Regulatory Affairs	
2. Schedule No.	<i>DCRS 21-0013</i>	
3. Amendment/ Addendum No		
4. Contact Person	Will Purcell	
5. Address	1100 4 th Street SW	
6. Telephone No.	202.807.0323	
7. Action Requested	X	a. Approval of agency records retention schedule
		b. Approval of amendment/addendum to agency retention schedule
c. Remarks		

Signature of Agency Representative	Title	Date
<i>Will Purcell</i>	Supervisory Records Management Specialist	June 11, 2020

Approvals

<i>Bill Branch</i> _____ Signature of DC Archivist	<input checked="" type="checkbox"/>	Approve	<input type="checkbox"/>	Disapprove	<i>9/9/21</i> _____ Date
_____ Signature of Public Records Administrator	<input type="checkbox"/>	Approve	<input type="checkbox"/>	Disapprove	_____ Date

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Introduction to Agency Retention Schedule

The Importance of Records

Records are the institutional memory of government. Every agency is responsible for creating and maintaining records that adequately document the organization, functions, policies, procedures, and major activities of the agency. An agency's records should reflect the evolution of agency policies and decisions, provide the information needed by successor officials to make intelligent decisions, and provide a lasting record of the unique contributions of the agency. Proper records must be kept to document the financial and legal commitments and interests of the government and of its citizens, and to permit oversight of an agency's activities.

Records Management

It is not only important that every agency create and maintain adequate documentation, but also that it provides for the proper disposition of its records by adopting a comprehensive records management program. Such a program establishes controls over records from the time of their creation to the time of their final disposition. It seeks to (a) provide for the timely and systematic removal of inactive records from an agency and the eventual destruction of those of a Temporary: nature after an appropriate length of time; and (b) identify those records of such historical or other importance that they should be preserved permanently in the District of Columbia Archives. A records management program is vital to the efficient and economical operation of government. Without it, offices would be drowning in records, at tremendous costs to the government in space, filing equipment, staff, and general efficiency of operations.

Records Schedule

The records schedule forms the heart of a good records management system. A schedule identifies those records of continuing value that are suitable for accessioning into the D.C. Archives and authorizes agencies to dispose of those records of Temporary: importance. A schedule is a detailed timetable that specifies the length of time records should be kept in active and inactive status prior to their final disposition. It prescribes how long a record should be maintained within an office before it may be destroyed, moved to low-cost storage in the D.C. Records Center, or transferred to the D.C. Archives to be preserved permanently.

There are two (2) types of records schedules: (1) an agency retention schedule; and (2) a general records schedule.

- (1) Agency Retention Schedules – The attached schedule is an agency retention schedule. It is based on a survey of the specific records created, received, utilized, and maintained in the various offices of your agency, and its disposition instructions are tailored to those records unique to your agency. It provides legal authority for the disposition of official records of your agency alone.
- (2) General Records Schedule - In addition to agency records schedules, there are also general records schedules. These schedules provide disposition authority for records common to most or all agencies of government. They cover records relating to personnel, fiscal functions, accounting, budget, procurement, transportation, and other common or housekeeping functions. An agency may implement or utilize the disposition instructions

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of a general records schedule where applicable or may apply a retention period that differs from that in the general schedule by submitting a retention schedule for that particular record series. However, General Schedules do not apply to documents dated before January 1, 1921. If you have records in your office dated earlier than 1921, please contact the D.C. Archives for an appraisal of those records.

The general records schedules that have been developed for the District of Columbia are embodied in D.C. General Records Schedules 1-18 and 20-24. The Office of Public Records is currently in the process of updating the DC General Schedule to reflect changes in the government, the implementation of new procedures, policies, and practices, as well technology over the past 30 to 40 years. Changes will be posted and agency records management officers will be notified.

Amending an Agency Records Retention Schedule

An agency records retention schedule is not a static document, it must be reviewed and revised on a regular basis. The organization of an agency, its functions, and programs are constantly changing, and the schedule must be continually updated to incorporate these changes. Amendments to agency schedules may be initiated either by the agency or by the Office of Public Records. Regulation 1 DCMR 1504.1(h) requires Agencies to review schedule annually to insure that it is up-to-date and provides for the disposition of all series of records not covered by the general records schedules. In order to understand and apply the records retention schedule for your agency, it is important to define certain terms that are used in records management and archives.

What are Public Records?

Public records are defined by the District of Columbia law as “any document, book, photographic image, electronic data recording, electronic mail, paper, video recording, sound recording, microfilm, computer disk, or other material, regardless of physical form or characteristic, that documents a transaction or activity made, received, or retained pursuant to law or in connection with the transaction of public business by or with any officer or employee of the District.”¹

Records are made or received and utilized by an office as it conducts its business. They relate directly to the mission of an agency and document the functioning of an agency. Although a paper document is the most common form of a record, a record can be of any physical characteristic. Computer tapes and disks, sound and video recordings, photographs and motion picture film, microfilm, maps, and charts, may each constitute an official record. Records as defined above belong to the District of Columbia. In no sense are they the personal property of an individual. They may not be destroyed except under legal procedures established by the government. One of the major purposes of an approved agency records retention schedule is to provide authority for the legal disposition of official records.

What is Non-Record Material?

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Not every document in a government office is an official record. The following types of material are usually considered non-record: duplicate copies of documents; pamphlets, periodicals, books, printed reports, and other materials maintained for reference purposes; reference copies of Mayor's Orders, Mayor's Memoranda, and the D.C. Register; reading files ("chron files"); copies of memoranda, correspondence, reports, and similar materials received from other agencies that require no action; drafts of reports and correspondence and related working papers that don't impact or are not considered essential to a final decision regarding policies, laws, and regulations, and that don't demonstrate the thought processes and reasoning behind making those decisions; blank forms, transmittals, and routing slips; and materials relating to fringe activities of an agency such as charitable fund drives.

Non-record materials are disposable on agency authority alone. If you are unsure as to the status of certain kinds of material, please call the Office of Public Records for assistance.

What are Personal Papers?

Some officials and employees keep personal papers within their offices. These are documents of an unofficial, private nature that pertain to an individual's personal affairs and do not relate to official business. Such papers might include files accumulated by an official (or employee) before they assumed office, or documents relating to one's private concerns, such as outside business activities or memberships in professional organizations, or personal notes or diaries that are totally unrelated to public business.

It is important that such papers be kept apart from official records and that they are clearly labeled as private papers. Please take care to see that personal papers do not become intermingled and confused with official records.

Retention Schedule Basic Terms and Use:

Close Date	The date or timeframe from which no further information may be added to a record.
Cutoff Date	After records close, a date or timeframe is selected as the "cut off", designating when the record becomes inactive. This date starts the retention timeclock and occurs at regular intervals. Please note, close, and cut off may be the same date.
Destroy/Delete	Records may be destroyed or deleted in accordance with DC Code § 2-1701, and agency policy. Care should be taken to ensure proper destruction of government records.
PHI	Personal Health Information defines the information covered under the HIPAA privacy rule. Federal protections apply to personal health information held by covered entities and gives patients an array of rights with respect to that information. At the same time, the privacy rule is balanced so that it permits the disclosure of personal health information needed for patient care and other important purposes.
PII	Personally Identifiable Information (PII), or Sensitive Personal

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Information (SPI), as used in US privacy law, is information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context.

Remaining Retention
in Records Center

Total retention period minus length of time records are maintained on-site. For permanent records, this is the remainder of the period that the records remain in the legal custody of the agency before transferring to the Archives.

Transfer of Records
(Physical)

Upon completion of on-site retention, records may be transferred to the Records Center, the DC Archives or deleted. Records transferred to the Record Center remain in the legal custody of the agency. FOIA requests for these records are sent to the agency, and the agency is responsible to respond and release information as appropriate.

Transfer of Records
(Legal)

Upon completion of on-site retention, records may be transferred to the Records Center, the DC Archives or deleted. Records transferred to the DC Archives transfer legal custody to the Archives. FOIA requests for these records are the responsibility of the Archives.

Total Retention

The total time a record is to be retained in the legal custody of the District after cut off.

Years in Office

Length of time records are maintained on-site at the agency after cut off.

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Organization

Department of Consumer and Regulatory Affairs

Policy and Procedures

Two hardcopies or a single electronic copy accompany this submission.

List of Directors

Where possible, a complete listing is provided below:

Ernest Chrappah	Nov-18	Current
Melinda Bolling	May-14	Nov-18
Nicholas A. Majett	Jan-11	Apr-14
Linda Argo	Apr-07	Dec-10
Lisa Marie Morgan	Jan-07	Mar-07
Dr. Patrick J. Canavan	Jan-05	Dec-06
David A. Clark	Apr-01	Dec-04
Lloyd J. Jordan	Aug-98	Mar-01
Dwight H. Reeves	Jun-98	Jul-98
W. David Watts	Sep-97	May-98
Hampton Cross	Sep-93	Aug-97
Larry King	Jun-93	Aug-93
Joan Parrott-Fonseca	Feb-93	May-93
Barbara E. Brown	Apr-92	Jan-93
Aubrey H. Edwards	May-91	Mar-92
Lacy C. Streeter	Jan-91	Apr-91
Donald G. Murray	May-83	Dec-90
Carol Thompson	Mar-83	Apr-83

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Citations Impacting Retention

Federal

2 CFR § 200.333 (Grants)

DC Legislation

DC Code § 2-1701

DC Code § 2-1706

DCMR 1-1504.1(d)

Court Orders

None

Audits Impacting Retention

None

Record Schedule

The Department of Consumer and Regulatory Affairs (DCRA) supports a thriving community of residents, businesses, and visitors through diligent protection of health and safety and equitable administration of regulation and compliance in the District of Columbia. The agency operates a consolidated building permit center, as well as reviews construction documents and activities to ensure compliance with building codes and zoning regulations. Construction activity, buildings and rental housing establishments are inspected and housing code violations are cited and abated, if necessary. To regulate businesses and protect consumers, DCRA issues business licenses, professional licenses, registers corporations, inspects weighing and measuring devices used for monetary profit and issues special events permits in addition to investigating Consumer Complaints against businesses operating within the District. The agency was established by Reorganization Plan No. 1 of 1983.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
1	<p>Directives (Office Staff) Formal communications that impact the mission or execution of the mission and programs of the agency. Series includes, but is not limited to, orders and operating manuals. Records are organized chronologically.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (DCRA Shared Drive)</p> <p>Permanent: Records close when the directive is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
2 a	<p>Public Relations Files</p> <p>Speeches: Text and audio or video recordings of formal speeches, announcements, and remarks to the press. Remarks made at formal ceremonies and during interviews by the agency executive staff and other high-ranking officials concerning agency programs. Records are organized chronologically.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (DCRA Shared Drive)</p> <p>Permanent: Records close upon conclusion of the presentation or event and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.</p>	Permanent	None	None
b	<p>News releases: Prepared statements or announcements issued for distribution to the news media. News releases announce events such as the adoption of new agency programs, termination of old programs, major shifts in policy, and changes in senior agency personnel and may be textual records such as a formal press releases or non-textual records, such as film and video or sound recordings. Records are organized chronologically.</p> <p>Restrictions: None.</p> <p>Media: Paper and Electronic (DCRA Shared Drive)</p> <p>Permanent: Records close upon conclusion of the presentation or event and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.</p>	Permanent	None	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
3	<p>Agency Policy and Procedures defining operational guidelines. Policies are arranged by topic and identified by year of issuance.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (DCRA Shared Drive)</p> <p>Permanent: Records close when directive is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain records on site four years after cut off, then transfer to the D.C. Archives.</p>	Permanent	4 Years	None
4	<p>Schedule of official activities of Agency Executive Staff</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (DCRA Shared Drive)</p> <p>Permanent: Records close at the end of the fiscal year and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years
5	<p>Strategic Plans: Plans and supporting documentation utilized to set the strategic direction for the Director's Office including, but not limited to studies, benchmarking of other jurisdictions, and statistics and data supporting current and planned future state. Organized by subject and date.</p> <p>Restrictions: Restricted</p> <p>Media: Electronic (DCRA Shared Drive)</p> <p>Permanent: Records close when the plan is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
6	<p>Performance Reports (Executive Staff, note some reports are published on-line) The Director's office maintains statistical data regarding the population served, and types of services rendered. Statistics are both quantitative and qualitative in nature. Records are arranged by topic and year.</p> <p>Restrictions: None Media: Electronic (DCRA Shared Drive) and Paper</p>			
a	<p>Published Permanent. Records close upon publication of the report and cut off at the end of the corresponding Mayor's tenure. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years
b	<p>Unpublished Appraisal: Records close upon completion of the final version of the report and cut off at the end of the corresponding Mayor's tenure. Records are transferred within 30 days of cut off to the Record Center for Appraisal.</p>	Appraisal required by DC Archivist		
7	<p>Project Subject Files (Executive Staff) Program-related projects and initiatives. Record consists of all documents and data relating to a specific project from inception to completion. Included are correspondence, memoranda, questionnaires, studies and reports, and related records. Excludes records that impact the mission or vision of the Director's Office which are to be retained permanently. Organized by subject and fiscal year.</p> <p>Restrictions: None Media: Paper and Electronic (DCRA Shared Drive) Appraisal: Records close upon completion or conclusion of the project and cut off at the end of the corresponding Mayor's tenure. Records are transferred within 30 days of cut off to the Record Center for Appraisal.</p>	Appraisal required by DC Archivist		

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
8	<p>Organization Files (Executive Staff) Organizational Charts and reorganization studies that define descriptions of the arrangement and administrative structure of the functional units within the Director's Office. Organized by date.</p> <p>Media: Electronic (DCRA Shared Drive) and Paper</p> <p>Permanent: Records close when the directive is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years
9	<p>Publications (Communication) Publications on various topics of interest or concern that provide insight and awareness. Includes Professional Licensing Board Publication studies, brochures, booklets, and posters. Organized by topic and year.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (DCRA Shared Drive)</p>			
a	<p>Printed Materials</p> <p>Permanent: Records close when publication is replaced or discontinued and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.</p>	Permanent	None	None
b	<p>Agency Websites (Network and Communications Team)</p> <p>Media: Electronic (stored on Enterprise Drupal Platform)</p> <p>Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.</p>	Permanent	1 Quarter	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
c	Social Media Posts (Network and Communications Team) Media: Electronic (Stored on twitter, LinkedIn, and Facebook) Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.	Permanent	1 Quarter	None

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Business & Professional Licensing Administration (BPLA) consists of seven divisions, and provides guidance, review and approval for business licenses, establishment of corporations, and licenses for special events. In addition to the service component of this unit, BPLA also maintains an investigatory unit that reviews complaints against businesses operating in the District of Columbia.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
10	<p>Business Licensing (Business Licensing) This record documents the application, review, approval, and renewal process for business licenses in the District. Records include but are not limited to Certificate of Organization, certificate of trade name registration, tax registration forms, and a certificate of occupancy if the business will be conducted in a commercial building. Records are organized by address.</p> <p>Restrictions: PII</p> <p>Media: Paper/Electronic (Accela and FileNet)</p>			
a	<p>Business Licenses-Valid for 2-4 Years</p> <p>Temporary: Records close 6 months after non-renewal or upon revocation of the license and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None
b	<p>Temporary Licenses-Valid 7-45 days (Examples of temporary licenses are fireworks stands)</p> <p>Temporary-Records close upon expiration of the license and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
11	<p>Corporate Registration (Corporate) This record documents the establishment and operation of a business in the District, as a nonprofit and for-profit corporation, limited liability company, limited partnership, limited liability partnership, general cooperative association, limited cooperative association or a statutory trust. The record may include but is not limited to articles of organization or incorporation, identification of the agent for the business, annual reports (changes to corporate structure, basic performance information, and verification of status), and trade name registration. Records are organized by entity name.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (FileNet)</p> <p>Permanent: Records close upon failure to renew, business closing by owner, or cancellation and cut off at the end of the fiscal year. Retain records for 10 years and then transfer to the DC Archives. Copies may be retained in the agency permanently.</p>	Permanent	10 Years (Agency may maintain copies permanently)	None
12	<p>Professional Licenses Case File (Occupational and Professional Licensing Administration) This record documents the application, review, and approval process for non-health related licenses for more than 125 occupational and professional categories. This record includes but is not limited to the application or renewal, proof of any educational requirements, transfer forms, and final determination. This record is organized last name/first name.</p> <p>Restrictions: PII</p> <p>Media: Paper/CD/WebPortal</p>			

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
a	Accepted Applications Temporary: Records close upon non-renewal or revocation of the license and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.	Temporary 3 Years	3 Years	None
b	Denied Applications Temporary: Records close upon rejection and cut off at the end of the fiscal year. Retain for 3 years after cut off and then destroy.	Temporary 3 Years	3 Years	None
13	Professional License Testing (Occupational and Professional Licensing Administration) This record documents testing conducted by DCRA to qualify applicants for a professional license to a minimum degree of competency required in each field. Records may include but are not limited to name of applicant, test score, and date of testing. Records are organized by month and year. Restrictions: PII Media: Paper/Electronic (Web Portal) Temporary: Records close upon conclusion of testing and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.	Temporary 2 Years	2 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
14	<p>Real Estate Pre-Licensing Training and Continuing Education Case Files (Occupational and Professional Licensing Administration) This record documents application and completion of the training program required to secure a license to act as an agent or appraise real estate in the District. Records are organized by applicant.</p> <p>Restrictions: None Media: Paper</p> <p>Temporary: Records close upon completion of training course and cut off at the end of the fiscal year following the license non-renewal or revocation. Retain record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
15	<p>Special Event Licensing Case File Special Events and Vending) This record documents the application, review, and approval process for special events licenses. Special events include street festivals, health fairs, circuses, live performances, public lectures and may take place on private or public property and licenses include but are not limited to location, date, and timeline from setup to close. Supporting documentation may also include:</p> <ul style="list-style-type: none"> • Special event application questionnaire • Tax Registration Certificate • Approval from the Department of Health • Approval of 75% of residents or business occupants within 300 feet of the event • Building permit for any temporary structures. <p>Restrictions: PII Media: Paper/Electronic (Accela)</p> <p>Record closes upon expiration of the license and cuts off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
16	<p>Vending License (Special Events and Vending) The record documents the application, review, and approval process for a vending license. Vending is defined as the sale of goods and services exclusively from public space and for the immediate delivery upon purchase (e.g., food trucks, hot dog carts, sidewalk merchandise vendors, ice cream, etc.) This record may include but is not limited to an application, vehicle registration, propane operation permit, health inspection report, government issued id, and final determination. This record is organized by business license number.</p> <p>Restrictions: PII</p> <p>Media: Electronic (DCRA Shared Drive)</p> <p>Temporary: Records close upon, expiration, non-renewal or revocation of license and cut off at the end of the fiscal year. Retain record for 4 years after cut off and then destroy.</p>	Temporary 4 Years	4 Years	None
17	<p>Weights and Measures Program Case File (Weights and Measures) This record documents the registration and inspection of all scanners, pharmaceutical balances, scales used in dialysis clinics, and commercially used weighing and measuring devices including gas pumps and produce scales utilized in the District. The record may include but is not limited to registration, Clean Hands Certification, copy of business license, location of business, and contact information. The record is organized by year, and business name</p> <p>Restrictions: PII</p> <p>Media: Electronic (records are stored in QuickBase database)</p>	Temporary 2 Years	2 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
a	<p>Device Registration: Temporary: Records close upon removal of the equipment or closure of the business and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None
b	<p>Calibration Inspections-Two Times per Year Temporary: Records close and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.</p>	Temporary 2 Years	2 Years	None
18	<p>License and Registration Fees Collected Files (Business & Professional Licensing Administration) This record documents the fees collected by DCRA for licenses and registrations. Record may include but are not limited to date of payment, payee name, and payee amount. Records are organized by date. Restrictions: Media: Electronic (iNovah) Temporary: Records close upon conclusion of the transaction and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to the Records Center for 3 years.</p>	Temporary 6 Years	3 Years	3 Years

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
19	<p>Board Meeting Minutes (BPLA) This record documents formal proceedings of the licensing boards to review applications. Records may include but not limited to license reviews, testimony, agenda, meeting minutes, and briefing materials. Organized by license board and date.</p> <p>Restrictions: None</p> <p>Media: Electronic and published to the website for the District's Board of Ethics and Government Accountability (BEGA) within 3 business days of meeting.</p> <p>Permanent: Records close upon acceptance of the minutes and cut off at the end of the Mayoral administration. Records are transferred to the D.C. Archives within 30 days of cut-off.</p>	Permanent	None	None
20	<p>Incomplete Applications (All Licensing and Registrations) This record documents incomplete applications submitted to DCRA for licenses or registrations.</p> <p>Restrictions: (See record type in this schedule)</p> <p>Media: (See record type in this schedule)</p> <p>Temporary: Records close after two years of inactivity and cut off at the end of the fiscal year. Destroy records after cut off.</p>	Temporary	None	None

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21	<p>Consumer Protection / Regulatory Investigation Case File (OCP/RIS) This record documents consumer complaints against a business, the investigation, mediation attempts and final resolution. The record may include but is not limited to the complaint with contact information, investigators report, statement from the business, mediation documentation and a final report. This record is organized by an assigned number (2-digit fiscal year and sequential number). Restrictions: PII Media: Paper</p>			
a	<p>Insufficient Evidence for Findings or No Disciplinary Action Temporary: Records close upon determination and cut off at the end of the fiscal year. Retain records for 2 years after determination and then transfer to the Record Center for 3 years.</p>	Temporary 5 Years	2 Years	3 years
b	<p>Disciplinary Action (Including Cease and Desist Orders and Civil Fines) Temporary: Records close upon satisfaction of determination requirements or exhaustion of all appeals and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to the Record Center for 7 years.</p>	Temporary 10 Years	3 Years	7 years
c	<p>Suspension/Revocation of Business License Temporary: Records close upon determination or exhaustion of all appeals and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then transfer to the archives for 7 Years.</p>	Temporary 10 Years	3 Years	7 years

Enforcement and Legislative Affairs

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
22	<p>Special Assessment Liens (Office of Civil Infractions) The record documents lien(s) assessed against a property that benefited from a public action project but did not comply with code requirements. This record includes the infraction/violation notices, activity logs, photos, and other supporting case documents. Records are organized by square suffix lot (coordinates that identify a specific address).</p> <p>Restrictions: None Media: Electronic (Accela) Temporary: Records close when lien obligation is satisfied and cut off at the end of the fiscal year. Retain the record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
23	<p>Notice of Infraction (Office of Civil Infractions) This record documents the review of infraction notices for legal sufficiency prior to issuing of the notice and tracking through resolution. This record may include but is not limited to notices of infraction issued by various departments within DCRA, identification of proper codes that are to be cited, validation that the proper entity is being served, record of the date the notice was served to the proper entity, verification that the appropriate response time is allowed, filing of the infraction with the Office of Administrative Hearings, legal resolution, and fine collection if applicable. Records are organized by the entity cited and the date.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Shared Drive)</p> <p>Temporary: Records close upon legal resolution of the infraction, exhaustion of all appeals, whichever is later, or fine payment; and cut off at the end of the fiscal year. Retain records for 4 years after cut off and then destroy.</p>	Temporary 4 Years	4 Years	None
24	<p>Vacant Building Abatement (Vacant Property Division) This record documents complaints from citizens, Council, and other District agencies regarding vacant buildings and determination of occupancy. The record may include but is not limited to owner contact information, site survey by inspector, and a determination. Record is organized by ward and address.</p> <p>Restrictions: None</p> <p>Media: Electronic (Web Portal)</p>			

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
a	<p>Case File</p> <p>Record closes upon identification of the responsible party and reclassification of the property through Tax and Revenue or through eminent domain and the property transfers to the Department of Housing and Community Development as an asset. Record cuts off at the end of the fiscal year. Retain records for 5 years after cut off.</p>	<p>Temporary 5 Years</p>	<p>5 Years</p>	<p>None</p>
b	<p>Vacant Property Report</p> <p>Permanent. Records close upon publication of the report and cut off at the end of the corresponding Mayor's tenure. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	<p>Permanent</p>	<p>None</p>	<p>4 Years</p>

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
25	<p>Vacant Property Registration File (Vacant Property and Abatement)</p> <p>Purposes of the Vacant Property Registration System is twofold. First, it seeks to create financial disincentives for property owners to leave their buildings vacant rather than putting them back into productive use. Second, it penalizes those property owners who allow their buildings to fall into such serious disrepair as to become a visual and physical blight on the neighborhood. These types of buildings pose a danger to surrounding neighbors, both through their potentially compromised structural integrity and their potential to attract crime. Blighted buildings can also have a significant adverse impact on the property values of nearby buildings and the morale of the community. Records may include but are not limited to property address, name of owner, description of the property and assessment of the condition, notification to notification to Office of Tax and Revenue to assess blighted or vacated tax rate, and notification of sale or repurpose of the property. Records are arranged by property address.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Accela)</p> <p>Temporary: Records close upon repurpose of the property and cut off at the end of the fiscal year. Retain records for 4 years after cut off and then destroy.</p>	Temporary 4 Years	4 Years	None

Inspections and Compliance

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
26	<p>Housing Inspection Case Files (Housing) This record documents inspection of rental properties by DCRA for safe, habitable, and livable conditions. The record may include but is not limited to inspection request, inspection report, property address, name of owner(s), date of inspection, violation notices, photographs, correspondence, and inspection certificate. This record is organized by case number.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Accela)</p> <p>Temporary: Records close upon satisfaction of all District inspection requirements as documented by the inspector and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None
27	<p>Proactive Inspections (Proactive Inspection Division) This record documents the Districts inspection of all multi-unit rental properties for housing code violations. This record may include but is not limited to notice of inspection, confirmation of inspection date with owner, tenant consent forms, notices of violation, reinspection, and certificate of compliance. Records are organized by property address.</p> <p>Restrictions: PII</p> <p>Media: Paper/Electronic (Accela and DCRA Shared Drive)</p> <p>Temporary: Records close upon satisfaction of all District inspection requirements as documented by the inspector and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
28	<p>Proactive Inspection Fee (Proactive Inspection Division) This record documents fee assessed against all residential rental properties to fund proactive inspections. The fee is based a per-unit rate with an established maximum annual assessment.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Excel spreadsheet, DCRA Shared Drive)</p> <p>Temporary: Records close upon satisfaction of the fee and cut off at the end of the fiscal year. Retail record for 3 years and then transfer to the Record Center for 3 years.</p>	Temporary 6 Years	3 Years	3 Years
29	<p>Illegal Construction Inspection (Illegal Construction) This record documents the investigation process for addressing illegal (unauthorized/ unlicensed or non-permit) construction, including identification of an event or instance, notification of the owner and resolution of suspected instances of construction being conducted without a permit or outside the scope of the permit. The record may include but is not limited to inspection reports, photos, spreadsheets, notice of infraction, stop work order, and notice of hearing date. This record is organized by address.</p> <p>Restrictions: None</p> <p>Media: Paper/ Electronic (Accela)</p>			
a	<p>Unfounded or Insufficient Information to Make a Determination</p> <p>Temporary: Records close upon determination of compliance and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then destroy.</p>	Temporary 5 Years	5 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
b	Founded Temporary: Records close upon resolution of infraction and / or exhaustion of all appeals. Retain records for 5 years after cut off and then transfer to the Record Center for 5 Years.	Temporary 5 Years	5 Years	None
30	Construction Inspections (Inspections) This record documents the inspection process for all construction and is available to residents or companies with valid building permits. The record may include but is not limited to a copy of the permit, permit number, scheduled inspection date, property address, property contact, property owner, and inspection report. This record is organized by property address. Inspections may be conducted by DCRA or certified 3 rd Party Inspector. Types of inspections conducted include: <ul style="list-style-type: none"> • Building • Electrical • Fire • Mechanical • Plumbing • Zoning • Certificate of Occupancy Restrictions: None Media: Paper Permanent: Records close when the associated construction permit is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to the DC Archives.	Permanent	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
31	<p>Boiler Case File (Boiler) This record documents the regulatory oversight of DCRA to permit and inspect boiler systems and unfired pressure vessels in the District. Annual inspections are conducted by DCRA Inspectors or by a Boiler Insurance Company licensed by the District and the information may be used to support the permit process or as part of the required annual inspection. This record may include but is not limited to copy of current and past boiler permits, inspection reports, photographs, certificate of inspection. This record is organized by address.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Accela)</p>			
a	<p>Permit</p> <p>Temporary: Records close upon non-renewal of permit or revocation of privileges without correction and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None
b	<p>Inspection</p> <p>Temporary: Records close upon satisfaction of inspection requirements as documented by the inspector and cut off at the end of the fiscal year after the record is superseded or becomes obsolete. Retain record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
32	<p>Elevator Case Files (Elevator) This record documents the regulatory oversight of DCRA to permit and inspect conveying systems in the District. Conveying systems include elevators escalators, dumbwaiters, wheelchair lifts, manlifts and moving walks. All conveyances are required to be inspected every six months (twice a year). One inspection will be a periodic inspection by a QEI certified elevator inspector (usually without assistance) to verify the overall condition and safe operation of conveyance. The second will be an inspection and witnessing of tests by a QEI certified elevator inspector of the conveyance and related systems (usually performed with assistance of the elevator, generator, and fire alarm companies). This record may include but is not limited to inspection reports, drawings, accident reports, certificate of inspection, and permits. The certificate of inspection is valid for a period of two (2) years. Inspections may be conducted by DCRA or certified 3rd Party Inspector. This record is arranged by the inspection address.</p> <p>Restrictions: None Media: Paper/Electronic (Accela)</p>	Temporary	None	None
a	<p>Permit Temporary: Records close upon non-renewal of permit or revocation of privileges without correction and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
b	Inspection Temporary: Records close upon satisfaction of inspection requirements as documented by the inspector and cut off at the end of the fiscal year after the record is superseded or becomes obsolete. Retain record for 3 years after cut off and then destroy.	Temporary 3 Years	3 Years	None
33	New Inspection: Approved inspections allow the holder to install, relocate, alter, or repair, designated equipment and serves as limited approval of use of the equipment by the permit holder during the period of such installation, relocation, alteration, or repair. Records close upon expiration of the permit and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.			
a	Operating Inspections: Required every 24 months for active equipment. Records close upon expiration of the permit and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.	Temporary 3 Years	3 Years	None
b	Failed Inspections Records close upon final determination and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.	Temporary 3 Years	3 Years	None
c	Inspection Fees Records close upon payment of the fee and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to the Records Center for 3 years.	Temporary 6 Years	3 Years	3 Years

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
d	Final Acceptance Inspection and Tests – required for all new conveyances, and any conveyance that has had permitted work performed on it. Temporary: Record closes when inspections and tests are completed, and report or certificate of inspection has been issued, and cut off at the end of the fiscal year. Retain record in-house for 3 years; transfer to the Record Center for 3 years, and destroy	Temporary 6 Years	3 Years	3 Years
34	Construction Code Coordinating Board Meeting Minutes (Inspections and Compliance) This record documents formal proceedings of the board to review and update the Construction Codes for the District of Columbia. A significant portion of these meetings engage Technical Advisory Groups (TAGs) for the purpose of shaping future legislation to be implemented in the District’s Building Code. Records may include but are not limited to testimony, agenda, meeting minutes, and briefing materials. Organized by date. Restrictions: None Media: Electronic, and published to DCRA website Permanent: Records close upon acceptance of the minutes and cut off at the end of the Mayoral administration. Records are transferred to the D.C. Archives within 30 days of cut-off.	Permanent	None	None

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Permit Operations Division (POD) The Permits Operations Division is responsible for reviewing applications for and issuing Building Permits, Postcard Permits, Supplemental Permits, Certificates of Occupancy, and Home Occupation Permits.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
35	<p>Land Records (Surveyors) This record documents the legal records of all and plats and subdivisions of private and public properties within the District of Columbia. Records may include but are not limited to plats, maps, studies used to classify land use, and sales and transfers of land. Records are organized by square and lot (Square is a 4-digit number indicating the location in the city, a suffix may be included to indicate the quadrant of the city. Lot indicates the location of the property in the square.)</p> <p>Restrictions: None Media: Paper Permanent: Records represent a historical record of the District and are retained permanently in the Agency.</p>	Permanent	Permanent	None
36	<p>Private Surveyor List (Surveyors) This record documents a list of registered surveyors in the District and is available to the public on the DCRA website. The record includes but is not limited to name of the surveyor's firm, address and contact information. The record is organized by a 4-digit certification number (2-digit year of certification-2-digit sequential number).</p> <p>Restrictions: None Media: Electronic (QuickBase) Temporary: Surveyor records close when the surveyor is no longer approved through DCRA and cut off daily. Remove surveyor's name from the list after cut off.</p>	Temporary	Until superseded	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
37	<p>Plat Records This record documents exterior view of a property modifications/improvements made to the exterior over time. Revised plats may be required to secure a building permit that involves exterior work to a property (such as building a house or adding a deck), plats also show all trees that measure at least 4.5 feet above ground and have circumferences of 12 inches or more.</p> <p>Restrictions: None Media: Paper</p> <p>Permanent: Records close when record is superseded or becomes obsolete, and cut off at the end of the fiscal year. Retain record for 10 years and then transfer to DC Archives.</p>	Permanent	10 Years	None
38	<p>Zoning office contains the office of the Zoning Administrator whose function is to provide feedback on the permit issuance and construction inspection processes to ensure activities remain in compliance with the District's Zoning rules.</p> <p>Restrictions: None Media: Paper/Electronic (Accela)</p> <p>Permanent: Records close acceptance of meeting minutes and cut off at the end of the associated Mayor's administration. Records are transferred to the D.C. Archives within 30 days of cut-off.</p>	Permanent	None	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
39	<p>Building Permits Case File (Permit Center Operations) This record documents the application, review, and approval process to secure a building permit. This record may include but is not limited to an application, official building permit, Environmental Intake Form to determine if an Environmental Impact Screening is required, building plans, building plat, and review and approval by inspection units such as zoning, electrical and fire, plumbing, etc., and a determination. This record is organized by permit number (Letter designation followed by a 7-digit number: The 1st, 2nd, or 3rd letters indicates the permit type and last 7-digits are a date and sequential record number)</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Accela)</p> <p>Permanent: Records close when permit is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to the DC Archives.</p>	Permanent	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
40	<p>Certificate of Occupancy Case File (POD) This record documents certification of a building as compliant with zoning regulations and building codes. This certification is required prior to occupancy in new construction, or changes in ownership, occupancy load, or use for commercial buildings. This record may include but is not limited to application, property address, contact information for the owner, field report, photos, and inspections reports. This record is organized by address.</p> <p>Restrictions: PII Media: Paper / Electronic (Accela) Temporary: Records close when the property is confirmed as sold or no longer in use and cut off at the end of the fiscal year. Retain in-house for 3 years, transfer to the DC Record Center for 7 years.</p>	Temporary 10 years	3 years	7 years

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
41	<p>Construction Inspections (Inspections) This record documents the inspection process for new construction and is available to residents or companies with valid building permits. The record may include but is not limited to a copy of the permit, permit number, scheduled inspection date, property address, property contact, property owner, and inspection report. This record is organized by property address. Inspections may be conducted by DCRA or certified 3rd Party Inspector. Types of inspections conducted include:</p> <ul style="list-style-type: none"> • Boiler • Building • Electrical • Elevator • Fire • Mechanical • Plumbing • Zoning • Certificate of Occupancy <p>Restrictions: None Media: Paper / Electronic (Accela) Permanent: Records close when the associated construction permit is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to the DC Archives.</p>	Permanent	3 Years	None

Freedom of Information Act (FOIA)

Office Responsible for responding to FOIA requests received by DCRA within the required timeframe.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
42	Freedom of Information Act Requests (FOIA Office) This record documents requests from the public for document (s) to be released under the Freedom of Information Act. Records include the request, a copy of the reply, and all related supporting files. Records are organized in FOIA Express. Restriction: None Media: Electronic (FOIA Express)			
a	Approved Requests Temporary: Records close upon response to the requester and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.	Temporary 2 Years	2 Years	None
b	Denied Requests Temporary: Records close upon response to the requester and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then destroy.	Temporary 5 Years	5 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
43	<p>Freedom of Information Act Appeals (FOIA Office) This record documents requests denied by an agency, commission, or formal office in the District of Columbia to release documents under the Freedom of Information Act. Records include the request, a copy of the denial, and all related supporting files. Records are organized in FOIA Express Restriction: None Media: Electronic (FOIA Express) Temporary: Records close upon exhaustion of all appeals and cut off at the end of the fiscal year. Retain the record 4 years, and then destroy.</p>			
a	<p>Denied requests appealed to a District official Temporary: Records close upon decision by District official and cut off at the end of the fiscal year. Responses are entered into FOIA Express, and any records held at the originating agency are retained for 4 years after cut off and then destroyed.</p>	Temporary 4 Years	4 Years	None
b	<p>Denied requests appealed to the DC Court of Appeals Temporary: Records close upon decision by the court and cut off at the end of the fiscal year. Responses are entered into FOIA Express, and any records held at the originating agency are retained for 3 years after cut off and then destroyed.</p>	Temporary 3 Years	3 Years	None